

091-250458

For Internal Use
Only
Sec File No. 9-

Submit 1 Original
and 9 Copies

OMB APPROVAL

OMB Number: 3235-0504
Expires: August 31, 2010
Estimated average burden
hours per response.....3.60

2018 JUL 18 PM 2:36

SEC / TM

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Mail Processing
Section

JUL 18 2018

FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New
Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I

Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:
Nasdaq Stock Market LLC (traded pursuant to unlisted trading privileges)
2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):
Open End Management Investment Company
3. Class of New Derivative Securities Product:
Exchange Traded Fund
4. Name of Underlying Instrument:
Actively Managed Portfolio of Securities
5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:
Not Applicable
6. Ticker Symbol(s) of New Derivative Securities Product:
BATT
7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:
Listed on: Australian Stock Exchange (ASX), Euronext Amsterdam, Euronext Brussels, Hong Kong, Indonesia, Johannesburg Stock Exchange, London Stock Exchange, NASDAQ Stock Market LLC, NYSE, OMX Nordic Exchange, Helsinki, OMX Nordic Exchange, Stockholm, Oslo Stock Exchange, Shanghai Stock Exchange, Shenzhen, Tokyo Stock Exchange, Toronto
8. Position Limits of New Derivative Securities Product (if applicable):
Regular way trades settle on T + 2 (cash settled)
9. Position Limits of New Derivative Securities Product (if applicable):
N/A



18008304

Part II

Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:
William Slattery

Title:
Vice President

Telephone Number:
+1 301 9788088

Manual Signature of Official Responsible for Form:

Date: **July 16, 2018**

William Slattery

Asst	SECURITIES EXCHANGE ACT OF 1934
RECEIVED	DATE
FILED	DATE
Public	Availability:
JUL 18 2018	